

approved
product list



CognitiveWealth Pty Ltd

26 Hampton Street, East Brisbane, QLD. 4169
PO Box 7282, East Brisbane, QLD. 4169

ABN: 95 136 062 345 ACN: 136 062 345 CAR: 336959

cognitivefinancialpartners.com.au

Ph: 07 3337 2900

Fax: 07 3337 2920

Corporate Authorised Representative of

Carpeta Pty Ltd

26 Hampton Street, East Brisbane, QLD. 4169
PO Box 7282, East Brisbane, QLD. 4169

ABN: 38 648 392 009 AFSL: 529435

Ph: 07 3337 2900

Products: This Approved Products List (APL) includes certain platforms and product providers that issue and/or offer their own products. These product offerings are included as “approved products” unless and until we notify otherwise. Where a platform appears on this APL, there can be a general assumption that all products available on that platform are also “approved products”.

Compliance: Our APL is for use by Carpeta Pty Ltd authorised representatives. Each advisor must act within the parameters of authorisation and competence. “Authorisation” refers to the products that an advisor is authorised to use in advising clients. “Competence” means the capacity of an Advisor (through education, experience, training and specific product knowledge) to provide appropriate advice to a client about the product, including its risks.

Licensee Registration: When you use a product for the first time (or have only used it under another licensee) you must confirm with the product provider that Carpeta Pty Ltd is a registered user and that you are an approved advisor by that product provider.

Products not on this APL: Under instructions from our PI Insurer, an advisor may not be covered for advising on products not included on the APL. If the client holds products, which are not on the APL, an advisor may a) obtain a release from the client, b) advise the client to switch the product into an approved product; c) seek Carpeta Pty Ltd’s approval to add the product to the APL, either as a single instance or generally.

1. Basic Deposit Products

- Bank accounts at an Australian Bank
- Savings accounts at an Australian credit union / Building society
- Australian Credit Card accounts
- Authorised Deposit-taking Institute (ADI)

2. Other Deposit Products

- Fixed Interest Deposits
 - DDH Graham
 - Macquarie Bank (MQG)
 - ADI’s
- Cash Management Accounts
 - Macquarie cash management
- Mason Stevens Limited

3. Foreign Exchange Contracts - Trading Platforms (Margin Foreign Exchange)

- Interactive Brokers
- Saxo Capital Markets (Australia) Pty Ltd
- CFH Clearing
- CMC Markets
- Meta Trader 4

4. Debentures, stocks or bonds issued or proposed to be issued by a government.

5. Life Investment Insurance Products

- BT Financial group
 - IOOF
 - Challenger
 - AMG
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6. Life Risk Insurance Products

- All policies issued by Australian registered or APRA regulated Life Companies
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7. Managed Investment Schemes
(IDPS-Investor directed portfolio services)

- Asgard Elements - Investments
 - BT Investment Funds
 - DDH Graham
 - Fund Management Gambit Misere
 - HUB24
 - Macquarie Bank Agi-Investment Facility
 - Macquarie Investments
 - Macquarie Wrap
 - Man Investments Portfolio
 - MLC Master Key Investments
 - Vanguard Investment Funds
 - IOOF Pursuit Products
 - One Path
 - Valensworth Fund
 - Managed Investment Account Service
 - Mason Stevens Limited
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8. Margin Lending

- ANZ IL
 - Bank SA Margin Lending
 - Leverage Equities Margin Lending
 - National Australia Bank Margin Lending
 - St George Margin Lending
 - Westpac Margin Lending
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9. Retirement Savings accounts

10. Securities

- All ASX Listed Securities
- D2MX Trading Solution
- HUB24
- Interactive Brokers
- Saxo Capital Markets (Australia) Pty Ltd
- Open Markets
- ANZ Share Investing
- CMC Markets
- Mason Stevens Limited
- Morrison
- Hybrid Securities(sub-classify under derivatives)
- IAG Capital Notes
- Qube Subordinated Notes
- AMP Capital Notes*
- AMZ Capital Notes*
- NAB Capital Notes*
- Macquarie Bank Notes*
- Westpac Capital Notes*
- Meta Trade 4

*Capital Notes offerings are open to retail clients, however the Investment is a complex investment product. If you do not fully understand how they work, please seek advice from your financial adviser.

11. Superannuation

- AMG Universal Super
- Asgard – Super / Pension products
- BT Financial Group
- DIY Super Warrants
- Macquarie Superannuation products
- MLC Custom Superannuation
- MLC MasterKey Business Super
- MLC MasterKey Custom Self-Managed Super
- MLC MasterKey Super
- SMSF Investments into products on APL
- IOOF
- One Path
- Challenger
- SMSF Alliance

12. Products suitable for “Wholesale Clients” only

- NAB Corporate Bond Service
- FoundU – FPO, unlisted company

13. Research

- FNARENA
- Morningstar
- Ord Minnett
- Morgans
- Bell Potter Securities
- Institute of Managed Account Professionals Ltd
- NAB Market Research
- UBS Securities Australia Ltd
- Citi Research
- Macquarie Group

14. Managed Discretionary Accounts

- Shartru Investment Management Pty Ltd
- NetWealth
- Centrepoint

